

15866 U.S. PTO  
040104

## BARNES & THORNBURG

600 One Summit Square  
Fort Wayne, Indiana 46802  
(260) 423-9440  
Fax: (260) 424-8316

### PATENT APPLICATION IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Customer No.: 23641

Attorney

Docket No.: 26893/82699

Inventors: Dieter S. Gaubatz, et al.

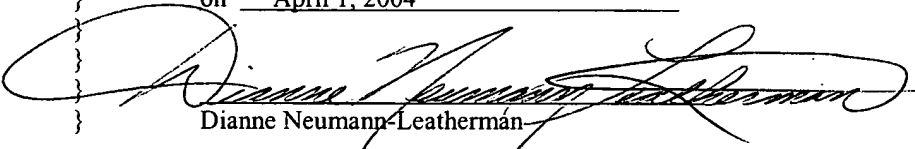
Title: SYSTEM AND METHOD  
FOR EVALUATING  
PREFERRED RISK  
DEFINITIONS

#### Certificate Under 37 CFR 1.10

Express Mail Label No. EV 329 805 745 US

I hereby certify that this correspondence is being deposited with the United States Postal Service's "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to: Mail Stop Patent Application, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450

on April 1, 2004

  
Dianne Neumann-Leatherman

### UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

1. ☒ **Fee Transmittal Form (e.g., PTO/SB/17)**  
(Submit an original and a duplicate for fee processing)

2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.

3. ☒ **Specification** [Total Pages 26 ]  
(preferred arrangement set forth below)

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. ☒ **Drawing(s) (35 U.S.C. 113)** [Total Sheets 4 ]

5. ☒ **Oath or Declaration** [Total Pages 4 ]

a. ☒ **Informal**

b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)

i. ☐ **DELETION OF INVENTOR(S)**

Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

a. ☐ Computer Readable Form (CRF)

b. Specification Sequence Listing on:

- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper

c. ☐ Statements verifying identity of above copies

#### ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))

10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)

11. ☐ English Translation Document (if applicable)

12. ☐ Information Disclosure ☐ Copies of IDS Citations  
Statement (IDS)/PTO-1149

13. ☐ Preliminary Amendment

14. ☒ **Return Receipt Postcard (MPEP 503)**  
(Should be specifically itemized)

15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

16. ☐ Nonpublication Request Under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.

17. ☒ **Other:** Check in the amount of \$1,496.00

17497 U.S. PTO  
10/816120  
040104


18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation      ☐ Divisional      ☐ Continuation-in-part (CIP)      of prior application No.: \_\_\_\_/\_\_\_\_

Prior application information: Examiner: \_\_\_\_\_

Group/Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPLICATIONS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

  
Bobby B. Gillenwater  
Reg. No. 31,105

Date: April 1, 2004

Send Fees and Completed Form to:


Mail Stop Patent Application  
Commissioner of Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

FWDS01 BBG 179866\_1  
Rev. (08/03)

**BARNES & THORNBURG**

600 One Summit Square  
Fort Wayne, Indiana 46802  
(260) 423-9440

PATENT APPLICATION  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|                      |   |   |
|----------------------|---|---|
| Customer No.:        | 23641   | } <u>Certificate Under 37 CFR 1.10</u>  |
| Application No.:     |   | } Express Mail Label No. EV 329 805 745 US  |
| Confirmation No.:    |   | } I hereby certify that this correspondence is being deposited with the United States Postal Service's "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 |
| Filing Date:         | April 1, 2004   | }   |
| Group Art Unit:      | Unknown   | }   |
| Examiner Name:       | Unknown   | } on <u>April 1, 2004</u>   |
| Attorney Docket No.: | 26893/82699   | <br>Dianne Neumann-Leatherman  |
| Inventors:           | Dieter S. Gaubatz et al.                                    |   |
| Title:               | SYSTEM AND METHOD FOR EVALUATING PREFERRED RISK DEFINITIONS |   |

**FEE TRANSMITTAL FOR FY 2004****TOTAL AMOUNT OF PAYMENT: \$ 1,496.00****METHOD OF PAYMENT**

1. ☒ The Commissioner is hereby authorized to charge any additional fee required under 37 CFR 1.16 and 1.17 and credit any overpayments to:

**Deposit Account Number: 02-1010 (26893/82699)**

**Deposit Account Name: Barnes & Thornburg**

- ☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ **Check**      ☐ Credit Card      ☐ Money Order      ☐ Other ☐ None

## FEE CALCULATION

### 1. Basic Filing Fee:

| Large Fee Code | Entity Fee | Small Fee Code | Entity Fee | Fee Description         | Fee Paid |
|----------------|------------|----------------|------------|-------------------------|----------|
| 1001           | \$770.00   | 2001           | \$385.00   | Utility Filing Fee      | 770.00   |
| 1002           | \$340.00   | 2002           | \$170.00   | Design Filing Fee       |          |
| 1007           | \$340.00   | 2007           | \$170.00   | Design Filing Fee (CPA) |          |
| 1003           | \$530.00   | 2003           | \$265.00   | Plant Filing Fee        |          |
| 1004           | \$770.00   | 2004           | \$385.00   | Reissue Filing Fee      |          |
| 1005           | \$160.00   | 2005           | \$80.00    | Provisional Filing Fee  |          |
|                |            |                |            | SUBTOTAL (1)            | 770.00   |

### 2. Extra Claim Fees:

|                          |    |        | Extra Claims |   | Fee from Below | Fee Paid |
|--------------------------|----|--------|--------------|---|----------------|----------|
| Total Claims             | 46 | -20**= | 26           | x | 18.00          | 468.00   |
| Independent Claims       | 6  | - 3**= | 3            | x | 86.00          | 258.00   |
| Multiple Dependent Claim |    |        |              |   |                | 0.00     |
|                          |    |        |              |   | SUBTOTAL (2)   | 726.00   |

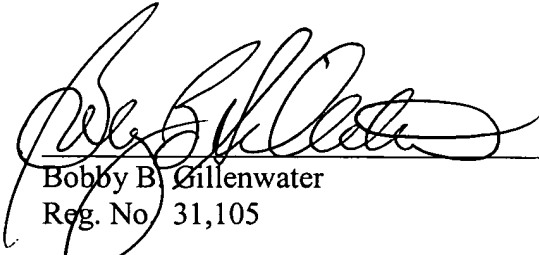
| Large Fee Code | Entity Fee | Small Fee Code | Entity Fee | Fee Description  |
|----------------|------------|----------------|------------|--|
| 1202           | \$18.00    | 2202           | \$9.00     | Claims in excess of 20                                     |
| 1201           | \$86.00    | 2201           | \$43.00    | Independent claims in excess of 3                          |
| 1203           | \$290.00   | 2203           | \$145.00   | Multiple dependent claims, if not paid                     |
| 1204           | \$86.00    | 2204           | \$43.00    | ** Reissue independent claims over original patent         |
| 1205           | \$18.00    | 2205           | \$9.00     | ** Reissue claims in excess of 20 and over original patent |

\*\* or number previously paid, if greater; For Reissues, see above. For multiple dependent claims, pay fee only once no matter how many multiple dependent claims you have.

### 3. Additional Fees:

| Large Fee Code | Entity Fee  | Small Fee Code | Entity Fee  | Fee Description  | Fee Paid |
|----------------|-------------|----------------|-------------|--|----------|
| 1051           | \$130.00    | 2051           | \$65.00     | Surcharge - late filing fee or oath                    |          |
| 1052           | \$50.00     | 2052           | \$25.00     | Surcharge - late provisional filing fee or cover sheet |          |
| 1053           | \$130.00    | 1053           | \$130.00    | Non-English specification                              |          |
| 1812           | \$2,520.00  | 1812           | \$2,520.00  | For filing a request for ex parte reexamination        |          |
| 1804           | \$920.00*   | 1804           | \$920.00*   | Requesting publication of SIR prior to Examiner action |          |
| 1805           | \$1,840.00* | 1805           | \$1,840.00* | Requesting publication of SIR after to Examiner action |          |

|                                   |            |      |            |  |      |
|-----------------------------------|------------|------|------------|--|------|
| 1251                              | \$110.00   | 2251 | \$55.00    | Extension for reply within first month                                     |      |
| 1252                              | \$420.00   | 2252 | \$210.00   | Extension for reply within second month                                    |      |
| 1253                              | \$950.00   | 2253 | \$475.00   | Extension for reply within third month                                     |      |
| 1254                              | \$1,480.00 | 2254 | \$740.00   | Extension for reply within fourth month                                    |      |
| 1255                              | \$2,010.00 | 2255 | \$1,005.00 | Extension for reply within fifth month                                     |      |
| 1401                              | \$330.00   | 2401 | \$165.00   | Notice of Appeal   |      |
| 1402                              | \$330.00   | 2402 | \$165.00   | Filing a brief in support of an appeal                                     |      |
| 1403                              | \$290.00   | 2403 | \$145.00   | Request for oral hearing   |      |
| 1451                              | \$1,510.00 | 1451 | \$1,510.00 | Petition to institute a public use proceeding                              |      |
| 1452                              | \$110.00   | 2452 | \$55.00    | Petition to revive - unavoidable   |      |
| 1453                              | \$1,330.00 | 2453 | \$665.00   | Petition to revive - unintentional   |      |
| 1501                              | \$1,330.00 | 2501 | \$665.00   | Utility issue fee  |      |
| 1502                              | \$480.00   | 2502 | \$240.00   | Design issue fee   |      |
| 1503                              | \$640.00   | 2503 | \$320.00   | Plant issue fee  |      |
| 1504                              | \$300.00   | 1504 | \$300.00   | Publication Fee for early, voluntary, or normal Publication                |      |
| 1460                              | \$130.00   | 1460 | \$130.00   | Petitions to the Commissioner  |      |
| 1807                              | \$50.00    | 1807 | \$50.00    | Processing fee for provisional applications                                |      |
| 1806                              | \$180.00   | 1806 | \$180.00   | Submission of Information Disclosure Statement                             |      |
| 8021                              | \$40.00    | 8021 | \$40.00    | Recording each patent assignment per property (times number of properties) |      |
| 1809                              | \$770.00   | 2809 | \$385.00   | Filing a submission after final rejection (37 CFR § 1.129(a))              |      |
| 1810                              | \$770.00   | 2810 | \$385.00   | For each additional invention to be examined (37 CFR § 1.129(b))           |      |
| 1801                              | \$770.00   | 2801 | \$385.00   | Request for Continued Examination (RCE)                                    |      |
| 1802                              | \$900.00   | 1802 | \$900.00   | Request for expedited examination of a design application                  |      |
| Other fee (specify): _____        |            |      |            |  |      |
| *Reduced by Basic Filing Fee Paid |            |      |            | SUBTOTAL (3)   | 0.00 |

  
 Bobby B. Gillenwater  
 Reg. No. 31,105

Date: April 1, 2004

FWDS01 BBG 179865

(Rev. 10/03)